

20427 U.S. PTO
031604

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

PATENT

ATTY DOCKET NO.: 208.6122DV

DATE: March 16, 2004

**UTILITY PATENT APPLICATION TRANSMITTAL LETTER
AND FEE TRANSMITTAL FORM (37 CFR 1.53(b))**

17548 U.S. PTO
10/801367
031604

Mail Stop Patent Application
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

Transmitted herewith for filing under 37 CFR 1.53(b) is:

- ☒ a patent application
☐ a Continuation ☒ a Divisional ☐ a Continuation-in-Part (CIP) Application of prior application
Serial No. 10/062,331, filed February 1, 2002 (now allowed), which claims the benefit of Provisional
application Serial No. 60/265,817; filed: February 1, 2001.

Inventor(s) or Application Identifier:

James Anthony Schwindeman, Gastonia, North Carolina

Robert J. Letchford, Cherryville, NC

Eric John Granger Lafayette, Indiana

Roderic P. Quirk Akron, Ohio

Entitled: **FUNCTIONALIZED INITIATORS FOR ANIONIC
POLYMERIZATION, PROTECTED FUNCTIONALIZED POLYMERS,
DEPROTECTED ANALOGUES THEREOF, AND METHODS OF MAKING
THE SAME**

Correspondence Address:

Customer No. 20792
Myers Bigel Sibley & Sajovec, P.A.
P. O. Box 37428
Raleigh, North Carolina 27627
Telephone: (919) 854-1400
Facsimile: (919) 854-1401

Enclosed are:

1. ☒ Application Transmittal Letter and Fee Transmittal Form (*A duplicate is enclosed for fee processing*)
2. ☒ **40** Pages of Specification (including **17** claims)
3. ☐ **0** sheets of Formal Drawings (35 USC 113)
4. ☒ Oath or Declaration
 - a. ☐ newly executed (*original or copy*)
 - b. ☒ copy from prior application (37 CFR 1.63(d) (*for continuation/divisional*) [Note Box 6 Below]
 - c. ☐ DELETION OF INVENTOR(S) (*Signed statement deleting inventor(s) named in the prior application*)

5. ☐ Application Data Sheet. See 37 CFR 1.76
6. ☒ Incorporation By Reference (*useable if box 4b is checked*)
The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under Box 4b, is considered as being part of the disclosure of the accompanying application and is hereby incorporated by reference therein.
7. ☐ Microfiche Computer Program (*Appendix*)
8. ☒ Assignment papers (*cover sheet(s) and document(s) filed in parent application*)
9. ☐ Applicant claims small entity status. See 37 CFR 1.27.
10. ☒ Information Disclosure Statement, PTO-1449, and 0 references cited
11. ☐ Preliminary Amendment (*Please enter all claim amendments prior to calculating the filing fee.*)
12. ☐ English Translation Document
13. ☐ Certified Copy of Application No.
14. ☐ Sequence Listing/ Sequence Listing Diskette
- a. ☐ computer readable copy
- b. ☐ paper copy
- c. ☐ statement in support
15. ☐ An Associate Power of Attorney
16. ☒ Return Receipt Postcard (MPEP 503) (*Should be specifically itemized*)
17. ☐ Other:

The fee has been calculated as shown below:

	Column 1 No. Filed	Column 2 No. Extra	Small Entity Rate Fee	Large Entity Rate Fee
BASIC FEE			\$385.00	\$770.00
TOTAL CLAIMS	17 - 20 =	0	x 09 = \$ 0.00	x 18 = \$0.00
INDEP CLAIMS	3 - 3 =	0	x 42 = \$ 0.00	x 84 = \$0.00
<input type="checkbox"/> MULTIPLE Dependent Claims Presented			+ 140 = \$0.00	+ 280 = \$0.00
If the difference in Col. 1 is less than zero, Enter "0" in Col. 2			Total \$ 0.00	Total \$770.00

- ☒ A check in the amount of **\$770.00** to cover the filing fee is enclosed.
- ☐ A check in the amount of \$ is enclosed to cover the filing fee, PLUS the Assignment Recordation fee (\$40.00).
- ☐ Please charge my Deposit Account No. 50-0220 in the amount of **\$0.00**.
- ☒ The Commissioner is hereby authorized to credit overpayments or charge the following fees associated with this communication to Deposit Account No. 50-0220:
- a. ☒ Additional filing fees under 37 CFR 1.16 for presentation of extra claims.
- b. ☒ Additional patent application processing fees under 37 CFR 1.17.

Respectfully submitted,



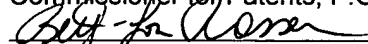
Devin R. Jensen
Registration No. 44,805

ATTY DOCKET NO.: 208.6122DV
DATE: March 16, 2004

CERTIFICATE OF EXPRESS MAILING

"Express Mail" mailing label number: EV381443781US Date of Deposit: March 16, 2004

I hereby certify that this paper or fee is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to Mail Stop Patent Application, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.



Betty Lou Rosser